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| FORM PTO-1390 (REV 5-93) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTORNEY DOCKET NO. P107242-00023 |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | DATE: September 28, 2001 | |
| | | U.S. APPLN. NO. (IF KNOWN, SEE 37 C.F.R. 1.5) 697926243 | |
| INTERNATIONAL APPLICATION NO. PCT/JP01/00568 | INTERNATIONAL FILING DATE January 29, 2001 | PRIORITY DATE CLAIMED January 31, 2000 | |
| TITLE OF INVENTION: POLISHING APPARATUS AND METHOD | | | |
| APPLICANT(S) FOR DO/EO/US: Etsuo KIUCHI; Toshiyuki HAYASHI | | | |
| <p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. (THE BASIC FILING FEE IS ATTACHED)</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures [35 U.S.C. 371(f)] at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</p> <p>4. <input type="checkbox"/> A proper demand for International Preliminary Amendment was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed [35 U.S.C. 371(c)(2)] a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p><input checked="" type="checkbox"/> A translation of the International Application into English [35 U.S.C. 371(c)(2)].</p> <p><input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)] a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made.</p> <p><input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)].</p> <p><input checked="" type="checkbox"/> An oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)].</p> <p><input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)].</p> | | | |
| Items 11 - 16 below concern other document(s) or information included: | | | |
| <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.</p> <p>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>14. <input type="checkbox"/> A substitute specification.</p> <p>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>16. <input checked="" type="checkbox"/> Other items or information: CHECK NO. 326449 Drawings (22 sheets) International Search Report Japanese Language Request Form Notification of Receipt of Record Copy (PCT/IB/301) Notification Concerning Submission of Priority Documents (PCT/IB/304) Front Page of International publication No. WO 01/56742 A1 </p> | | | |

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| U.S. APPN NO /IF KNOWN SEE 37 C.F.R. 1.50 09/926243 | INTERNATIONAL APPLICATION NO. PCT/JP01/00568 | ATTORNEY DOCKET NO. P107242-00023 | | |
| | | DATE: September 28, 2001 | | |
| 17. <input type="checkbox"/> The following fees are submitted: Basic National Fee [37 C.F.R. 1.492(a)(1)-(5)]: Search Report has been prepared by the EPO or JPO.....\$860.00 International preliminary examination fee paid to USPTO (37 C.F.R. 1.482).....\$690.00 No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but international search fee paid to USPTO [37 C.F.R. 1.445(a)(2)].....\$710.00 Neither international preliminary examination fee (37 C.F.R. 1.482) or international search fee [37 C.F.R. 1.445(a)(2)] paid to USPTO.....\$1,000.00 International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).....\$ 100.00 | | CALCULATIONS | PTO USE ONLY | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | \$ 860.00 | | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date [37 C.F.R. 1.492(e)]. | | \$ | | |
| Claims | Number Filed | Number Extra | Rate | |
| Total Claims | 76 - 20 = | 56 | X \$ 18.00 | \$ 1008.00 |
| Independent Claims | 9 - 3 = | 6 | X \$ 80.00 | \$ 480.00 |
| <input type="checkbox"/> Multiple dependent claim(s) (if applicable) | | + \$270.00 | \$ | |
| TOTAL OF ABOVE CALCULATIONS = | | \$ 2348.00 | | |
| Reduction by one-half for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28). | | \$ | | |
| SUBTOTAL = | | \$ 2348.00 | | |
| Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date [37 C.F.R. 1.492(f)]. + | | \$ | | |
| TOTAL NATIONAL FEE = | | \$ 2348.00 | | |
| Fee for recording the enclosed assignment [37 C.F.R. 1.21(h)]. The assignment must be accompanied by an appropriate cover sheet [37 C.F.R. 3.28, 3.31]. \$40.00 per property + | | \$ 40.00 | | |
| TOTAL FEES ENCLOSED = | | \$ 2388.00 | | |
| | | Amount to be refunded | \$ | |
| | | Charged | \$ | |
| <p>a. <input checked="" type="checkbox"/> A check in the amount of \$2388.00 to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. 01-2300 in the amount of \$ to cover the above fee. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 01-2300.</p> | | | | |
| NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive [37 C.F.R. 1.137(a) or (b)] must be filed and granted to restore the application to pending status. | | | | |
| SEND ALL CORRESPONDENCE TO: Customer No. 004372 Arent Fox Kintner Plotkin & Kahn 1050 Connecticut Avenue, N.W. Suite 600 Washington, D.C. 20036-5339 Tel: (202) 857-6000 Fax: (202) 638-4810 | | | | |
|  David T. Nikaldo Reg. No. 22,663 | | | | |